PTO/SB/21 (01-03) Approved for use through 04/30/2003. OMB 0651-0031 U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE der the Paper Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number. Application Number 10/608,673 **TRANSMITTAL** Filing Date June 27, 2003 **FORM** First Named Inventor Chung, Chul (to be used for all correspondence after initial filing) Art Unit Not yet assigned **Examiner Name** Not yet assigned Attorney Docket Number G08.027/U Total Number of Pages in This Submission **ENCLOSURES** (check all that apply) Fee Transmittal Form Drawing(s) After Allowance Communication to Group Appeal Communication to Board Fee Attached Licensing-related Papers of Appeals and Interferences Amendment / Reply Petition Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) Petition to Convert to a **Proprietary Information** After Final Provisional Application Affidavits/declaration(s) Power of Attorney, Revocation Status Letter Change of Correspondence Address **Extension of Time Request** Terminal Disclaimer X Other Enclosure(s) (please identify below): **Express Abandonment Request** Request for Refund Form PTO-1449, 9 non-patent literature cited references, and Information Disclosure Statement CD, Number of CD(s) Acknowledgement Postcard. Certified Copy of Priority Remarks Document(s) Response to Missing Parts/ Incomplete Application Response to Missing Parts under 37 CFR 1.52 or 1.53 SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT Firm Kurt M. Maschoff Individual Signature Date September 29, 2003 **CERTIFICATE OF TRANSMISSION/MAILING** I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on this date: September 29, 2003 Type or printed Edith Martin Date September 29, 2003 Signature

This collection of information is required by 37 CFR 1.5. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time your require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, Washington, DC 20231.



## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of: CHUNG

Serial No.: 10/608,673

Filing Date: June 27, 2003

For: METHOD AND APPARATUS FOR REFERENCE DATA SCRUBBING

Serial No.: 10/608,673

Group Art Unit: Not yet assigned

Attorney Docket No.: G08.027/U

Commissioner for Patents P.O. Box 1450 Alexandria, VA 22313-1450

## INFORMATION DISCLOSURE STATEMENT

Sir:

Applicant submits herewith patents, publications or other information of which they are aware that they believe may be material to the examination of this application, and in respect of which, there may be a duty to disclose.

The filing of this information disclosure statement shall not be construed as a representation that a thorough search has been made, an admission that the information cited is, or is considered to be, material to patentability, or that no other material information exists. Nor shall the filing of this information disclosure statement be construed as an admission against interest in any manner.

This Information Disclosure Statement is filed in accordance with 37 CFR §§1.56, 1.97 and 1.98. The items listed on the accompanying Form PTO-1449 may be deemed to be pertinent to the above-identified application and are made of record to assist the Patent and Trademark Office in its examination of this application. The Examiner is respectfully requested to fully consider the items listed on the enclosed copy of Form PTO-1449 and to independently ascertain their teaching.

Attorney Docket No.: G08.027/U

No fee is believed to be due under 37 CFR §1.17(p) for this Information Disclosure Statement since it is being filed within three months of the filing of the above-identified application.

Respectfully submitted,

<u>September 29, 2003</u>

Date

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Attorney Docket No.: G08.027/U

Complete if Known Substitute for form 1449A/PTO Application Numb r 10/608,673 **INFORMATION DISCLOSURE** Filing Date June 27, 2003 STATEMENT BY APPLICANT CHUNG First Named Inventor Group Art Unit Not yet assigned (use as many sheets as necessary) Examiner Name Not yet assigned 1 Sheet of **Attorney Docket Number** G08.027/U

OTHER PRIOR ART - NON PATENT LITERATURE DOCUMENTS				
Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T²	
	A	Allen & Overy, Memorandum for ISDA Members: "Definition of "Fully Transferable Obligation" in the ISDA Restructuring Supplement", 27 November, 2001. 4pgs.		
	В	Allen & Overy, "An Introduction to the Documentation of OTC Derivatives: "Ten Themes", May 2002. 7pgs.		
	С	"Sample form of Credit Derivative Confirmation", 10pgs.		
	D	Skora, Richard K., Article: "The Credit Default Swap", Skora & Company, Inc., RISK Publications, 1998. 8pgs.		
	Е	"Restructuring Supplement to the 1999 ISDA Credit Derivatives Definitions", 4pgs.		
	F	"Commentary on Restructuring Supplement", 5pgs.		
	G	Insurance Journal, "Swiss Re Sues XL Over Armstrong Credit Swap", May 23, 2001, download from <a href="http://www.insurancejournal.com/news/newswire/international/2001/05/23/12939.html/print">http://www.insurancejournal.com/news/newswire/international/2001/05/23/12939.html/print</a> on 9/25/2003. 1pg.		
	I	Allen & Overy, "An Introduction to the Documentation of OTC Derivatives", May 2002. 12pgs.		
	J	ISDA, "Background Information – OTC Derivatives Documentation: Improving Counterparty Risk Management Practices", June 1999, 66pgs.		

Examiner	Date	
Signature	 Considered	

<sup>\*</sup>EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>&</sup>lt;sup>1</sup>Unique citation designation number. <sup>2</sup>Applicant is to place a check mark here if English language Translation is attached.